

**STATEMENT UNDER 37 CFR 1.97(e) ACCOMPANYING  
INFORMATION DISCLOSURE STATEMENT**

Docket No.  
UC97-156-8

In Re Application Of:  
**SOLGAARD, O. ET AL.**



#10  
IDS  
5/31/02

Serial No.  
**09/849,096**

Filing Date  
**MAY 4, 2001**

Examiner

Group Art Unit  
**2874**

Invention: **MULTI-WAVELENGTH CROSS-CONNECT OPTICAL SWITCH**

TO THE ASSISTANT COMMISSIONER FOR PATENTS:

This is a statement under the provisions of 37 CFR 1.97(e) in the above-identified application.

Check applicable statement herebelow:

Statement Under 37 CFR 1.97(e)(1)

- ☐ Each item of information contained in the accompanying information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement.

Statement Under 37 CFR 1.97(e)(2)

- ☒ No item of information contained in the accompanying information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned person, after making reasonable inquiry, no item of information contained in the accompanying information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement.

  
Signature

Dated: **May 22, 2002**

**JOHN P. O'BANION, REG. NO. 33,201  
O'BANION & RITCHEY LLP  
400 CAPITOL MALL, SUITE 1550  
SACRAMENTO, CA 95814  
(916) 498-1010**

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Typed or Printed Name of Person Mailing Correspondence

CC:

**CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)**Applicant(s): **SOLGAARD, O. ET AL.**

Docket No.

UC97-156-8

Serial No.

09/849,096

Filing Date

MAY 4, 2001

Examiner

LEE, J.

Group Art Unit

2874

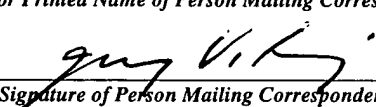
Invention: **MULTI-WAVELENGTH CROSS-CONNECT OPTICAL SWITCH**

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**Statement Under 37 CFR 1.97(e) Accompanying Information Disclosure Statement (Page 1)***(Identify type of correspondence)*

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on

May 22, 2002*(Date)*Jerry V. King*(Typed or Printed Name of Person Mailing Correspondence)*  
*(Signature of Person Mailing Correspondence)*EL737163690US*("Express Mail" Mailing Label Number)***Note: Each paper must have its own certificate of mailing.**

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**

(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.

UC97-156-8

In Re Application Of: SOLGAARD, O. ET AL.

Serial No.

09/849,096

Filing Date

MAY 4, 2001

Examiner

Group Art Unit

2874

Title: MULTI-WAVELENGTH CROSS-CONNECT OPTICAL SWITCH

Address to:

Assistant Commissioner for Patents  
Washington, D.C. 20231**37 CFR 1.97(b)**

1. ☐ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application; within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or before the mailing date of a first Office Action on the merits, whichever event occurs last.

**37 CFR 1.97(c)**

2. ☒ The Information Disclosure Statement submitted herewith is being filed after three months of the filing of a national application, or the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or after the mailing date of a first Office Action on the merits, whichever occurred last but before the mailing date of either:

1. a Final Action under 37 CFR 1.113, or
2. a Notice of Allowance under 37 CFR 1.311,

whichever occurs first.

Also submitted herewith is:

- ☒ a certification as specified in 37 CFR 1.97(e);

**OR**

- ☐ the fee set forth in 37 CFR 1.17(p) for submission of an Information Disclosure Statement under 37 CFR 1.97(c).

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**

(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.

UC97-156-8

In Re Application Of: SOLGAARD, O. ET AL.

Serial No.

09/849,096

Filing Date

MAY 4, 2001

Examiner

Group Art Unit

2874

Title: MULTI-WAVELENGTH CROSS-CONNECT OPTICAL SWITCH

**Payment of Fee**

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

- ☐ A check in the amount of \_\_\_\_\_ is attached.
- ☐ The Assistant Commissioner is hereby authorized to charge and credit Deposit Account No. \_\_\_\_\_ as described below. A duplicate copy of this sheet is enclosed.
- ☐ Charge the amount of \_\_\_\_\_
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Dated: May 22, 2002


\_\_\_\_\_  
Signature

JOHN P. O'BANION, REG. NO. 33,201  
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400 CAPITOL MALL, SUITE 1550  
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(916) 498-1010

cc:

CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)			Docket No.	
Applicant(s): SOLGAARD, O. ET AL.			UC97-156-8	
Serial No. 09/849,096	Filing Date MAY 4, 2001	Examiner LEE, J.	Group Art Unit 2874	
Invention: MULTI-WAVELENGTH CROSS-CONNECT OPTICAL SWITCH				
<p>I hereby certify that the following correspondence:</p> <div><p>Transmittal of Information Disclosure Statement Under 37 CFR 1.97(c) (Page 1 &amp; 2)</p><p>(Identify type of correspondence)</p></div> <p>is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on</p> <p><u>May 22, 2002</u></p> <p>(Date)</p> <div><p><u>Jerry V. King</u></p><p>(Typed or Printed Name of Person Mailing Correspondence)</p><p><u></u></p><p>(Signature of Person Mailing Correspondence)</p><p><u>EL737163690US</u></p><p>("Express Mail" Mailing Label Number)</p></div>				

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Applicant(s): SOLGAARD, O. ET AL.				
Serial No. 09/849,096	Filing Date MAY 4, 2001	Examiner LEE, J.	Group Art Unit 2874	
Invention: MULTI-WAVELENGTH CROSS-CONNECTED OPTICAL SWITCH				
<p>I hereby certify that the following correspondence:</p> <div style="border: 1px solid black; height: 60px; width: 100%;"></div> <p>Citations (4)</p> <p style="text-align: center;">(Identify type of correspondence)</p> <p>is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on</p> <p style="text-align: center;"><u>May 22, 2002</u> (Date)</p> <div style="text-align: right; margin-top: 20px;"><p><u>Jerry V. King</u> (Typed or Printed Name of Person Mailing Correspondence)</p><p><u></u> (Signature of Person Mailing Correspondence)</p><p><u>EL737163690US</u> (("Express Mail" Mailing Label Number)</p></div>				

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Docket No.

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Filing Date

MAY 4, 2001

Examiner

LEE, J.

Group Art Unit

2874

Invention: MULTI-WAVELENGTH CROSS-CONNECT OPTICAL SWITCH

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Information Disclosure Citation (PTO-1449) (Page 1)

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